

PTO/SB/21 (03-03)

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**TRANSMITTAL  
FORM**

(to be used for all correspondence after initial filing)

|   |                      |                        |          |
|---|----------------------|------------------------|----------|
| <b>TRANSMITTAL FORM</b><br>(to be used for all correspondence after initial filing) | Application Number   | 10/673,679             |          |
|   | Filing Date          | September 29, 2003     |          |
|   | First Named Inventor | Mark J. Pettay         |          |
|   | Art Unit             | 2655                   |          |
|   | Examiner Name        | Not Known              |          |
| Total Number of Pages in This Submission  | 42                   | Attorney Docket Number | PAT-008A |

**ENCLOSURES (Check all that apply)**

|   |  |  |
|---|--|--|
| <input type="checkbox"/> Fee Transmittal Form<br><input type="checkbox"/> Fee Attached<br><input type="checkbox"/> Amendment/Reply<br><input type="checkbox"/> After Final<br><input type="checkbox"/> Affidavits/declaration(s)<br><input type="checkbox"/> Extension of Time Request<br><input type="checkbox"/> Express Abandonment Request<br><input checked="" type="checkbox"/> Information Disclosure Statement<br><input type="checkbox"/> Certified Copy of Priority Document(s)<br><input type="checkbox"/> Response to Missing Parts/<br>Incomplete Application<br><input type="checkbox"/> Response to Missing Parts<br>under 37 CFR 1.52 or 1.53 | <input type="checkbox"/> Drawing(s)<br><input type="checkbox"/> Licensing-related Papers<br><input type="checkbox"/> Petition<br><input type="checkbox"/> Petition to Convert to a<br>Provisional Application<br><input type="checkbox"/> Power of Attorney, Revocation<br>Change of Correspondence Address<br><input type="checkbox"/> Terminal Disclaimer<br><input type="checkbox"/> Request for Refund<br><input type="checkbox"/> CD, Number of CD(s) _____ | <input type="checkbox"/> After Allowance communication<br>to Technology Center (TC)<br><input type="checkbox"/> Appeal Communication to Board<br>of Appeals and Interferences<br><input type="checkbox"/> Appeal Communication to TC<br>(Appeal Notice, Brief, Reply Brief)<br><input type="checkbox"/> Proprietary Information<br><input type="checkbox"/> Status Letter<br><input type="checkbox"/> Other Enclosure(s) (please<br>Identify below): |
| <b>Remarks</b>  |  |  |

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

|                               |                   |
|-------------------------------|-------------------|
| Firm<br>or<br>Individual name | Rocco L. Adornato |
| Signature                     |                   |
| Date                          | 1 FEB 05          |

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|                       |                      |      |          |
|-----------------------|----------------------|------|----------|
| Typed or printed name | Michele A. Zarinelli |      |          |
| Signature             |                      | Date | 1 Feb 05 |

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of: ) Group Art Unit: 2655  
Mark J. Pettay ) Examiner: Not Known  
)

Serial No.: 10/673,679

Filed: 29 September 2003

Atty. File No.: PAT-008A

For: SCRIPT COMPLIANCE AND QUALITY ASSURANCE USING SPEECH RECOGNITION

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

Sir:

The references cited on attached form PTO-1449 are being called to the attention of the Examiner.

☒ Copies of the cited foreign patents and/or U.S. patents and/or non-patent references are enclosed herewith.

☒ Copies of the cited U.S. patents and/or U.S. patent application publications are not enclosed in accordance with the waiver dated July 11, 2003, whereby patent applications filed after June 30, 2003 and international applications that have entered the national stage under 35 U.S.C. § 371 after June 30, 2003 need not submit copies of the U.S. patents and U.S. patent application publications.

☐ Are not enclosed, in accordance with 37 C.F.R. 1.98(d), because the references were submitted to the U.S. Patent and Trademark Office in prior application Serial No. \_\_\_\_\_ filed \_\_\_\_\_, which is relied upon for an earlier filing date under 35 U.S.C. § 120.

To the best of the applicants' belief, the pertinence of the foreign-language references are believed to be summarized in the attached English abstracts and in the figures, although applicants do not necessarily vouch for the accuracy of the translation.

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1 Feb 05  
Date of Deposit

Michele A. Zarinelli  
Michele A. Zarinelli

☒ Examiner's attention is directed to the following co-pending application(s) for which priority is not being claimed, copies have been or are being submitted:

Serial No. 10/670,126 filed 24 September 2003 (Atty. Dckt. No. PAT-008B)  
 Serial No. 10/669,089 filed 23 September 2003 (Atty. Dckt. No. PAT-009C)  
 Serial No. 10/668,678 filed 23 September 2003 (Atty. Dckt. No. PAT-008D)  
 Serial No. \_\_\_\_\_ filed \_\_\_\_\_ (Atty. Dckt. No. \_\_\_\_\_)  
 Serial No. \_\_\_\_\_ filed \_\_\_\_\_ (Atty. Dckt. No. \_\_\_\_\_)  
 Serial No. \_\_\_\_\_ filed \_\_\_\_\_ (Atty. Dckt. No. \_\_\_\_\_)  
 Serial No. \_\_\_\_\_ filed \_\_\_\_\_ (Atty. Dckt. No. \_\_\_\_\_)  
 Serial No. \_\_\_\_\_ filed \_\_\_\_\_ (Atty. Dckt. No. \_\_\_\_\_)

☒ Examiner's attention is directed to the following co-pending application(s), to which the current application claims priority, copies of at least the claims for such pending application are provided or have been provided:

Serial No. 09/785,048 filed 15 February 2001 (Atty. Dckt. No. PAT-008)  
 Serial No. \_\_\_\_\_ filed \_\_\_\_\_ (Atty. Dckt. No. \_\_\_\_\_)  
 Serial No. \_\_\_\_\_ filed \_\_\_\_\_ (Atty. Dckt. No. \_\_\_\_\_)  
 Serial No. \_\_\_\_\_ filed \_\_\_\_\_ (Atty. Dckt. No. \_\_\_\_\_)  
 Serial No. \_\_\_\_\_ filed \_\_\_\_\_ (Atty. Dckt. No. \_\_\_\_\_)  
 Serial No. \_\_\_\_\_ filed \_\_\_\_\_ (Atty. Dckt. No. \_\_\_\_\_)  
 Serial No. \_\_\_\_\_ filed \_\_\_\_\_ (Atty. Dckt. No. \_\_\_\_\_)  
 Serial No. \_\_\_\_\_ filed \_\_\_\_\_ (Atty. Dckt. No. \_\_\_\_\_)

Submission of the above information is not intended as an admission that any item is citable under the statutes or rules to support a rejection, that any item disclosed represents analogous art, or that those skilled in the art would refer to or recognize the pertinence of any reference without the benefit of hindsight, nor should an inference be drawn as to the pertinence of the references based on the order in which they are presented. Submission of this statement should not be taken as an indication that a search has been conducted, or that no better art exists.

It is respectfully requested that the cited information be expressly considered during the prosecution of this application and the references made of record therein.

## FEES

|                                     |   |
|-------------------------------------|---|
| <input checked="" type="checkbox"/> | <p><b>37 CFR 1.97(b):</b> No fee is believed due in connection with this submission, because the Information Disclosure Statement submitted herewith satisfies one of the following conditions ("✓" indicates satisfaction):</p> <p><input type="checkbox"/> Within three months of the filing date of a national application other than a continued prosecution application under 37 CFR 1.53(d), or</p> <p><input type="checkbox"/> Within three months of the date of entry into the national state of an international application as set forth in 37 CFR 1.491, or</p> <p><input checked="" type="checkbox"/> Before the mailing date of a first Office Action on the merits, or</p> <p><input type="checkbox"/> Before the mailing of a first Office Action after the filing of a Request for Continued Examination (RCE) under 37 CFR 1.114.</p> <p>Although no fee is believed due, if any fee is deemed due in connection with this submission, please charge such fee to Deposit Account 501880.</p>  |
| <input type="checkbox"/>            | <p><b>37 CFR 1.97(c):</b> The Information Disclosure Statement transmitted herewith is being filed after all the above conditions (37 CFR 1.97(b)), but before the mailing date of one of the following conditions:</p> <p><input type="checkbox"/> (1) a final action under 37 C.F.R. 1.113, or</p> <p><input type="checkbox"/> (2) a notice of allowance under 37 C.F.R. 1.311, or</p> <p><input type="checkbox"/> (3) an action that otherwise closes prosecution in the application.</p> <p>This Information Disclosure Statement is accompanied by:</p> <p><input type="checkbox"/> A Certification (below) as specified by 37 C.F.R. 1.97(e). Although no fee is believed due, if any fee is deemed due in connection with this submission, please charge such fee to Deposit Account 501880</p> <p style="text-align: center;"><b>OR</b></p> <p><input type="checkbox"/> Enclosed is PTO 2038 (Credit Card Payment Form) in the amount of \$180.00 for the fee set forth in 37 C.F.R. 1.17(p) for submission of an Information Disclosure Statement. Please credit any overpayment or charge any underpayment to Deposit Account 501880.</p> |
| <input type="checkbox"/>            | <p><b>37 C.F.R. 1.97(d):</b> This Information Disclosure Statement is being submitted after the period specified in 37 C.F.R. 1.97(c).</p> <p><input type="checkbox"/> This Information Disclosure Statement includes a Certification (below) as specified by 37 C.F.R. 1.97(e)</p> <p style="text-align: center;"><b>AND</b></p> <p><input type="checkbox"/> Applicants hereby requests consideration of the reference(s) disclosed herein. Enclosed is the fee in the amount of \$180.00 under 37 C.F.R. 1.17(p). Please credit any overpayment or charge any underpayment to Deposit Account 501880. Election to pay the fee should not be taken as an indication that applicant(s) cannot execute a certification.</p>  |

**Certification (37 C.F.R. 1.97(e))**  
(Applicable only if checked)

☐ The undersigned certifies that:

☐ Each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement. 37 C.F.R. 1.97(e)(1).

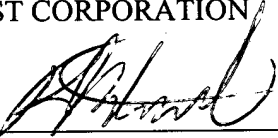
A copy of the communication from the foreign patent office is enclosed.

**OR**

☐ No item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned after making reasonable inquiry, no item of information contained in this Information Disclosure Statement was known to any individual designated in 37 C.F.R. 1.56(c) more than three months prior to the filing of this statement. 37 C.F.R. 1.97(e)(2).

Respectfully submitted,  
WEST CORPORATION

Dated: 1 FEB 05

By:   
Rocco L. Adornato  
Reg. No. 40,480



**29129**

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WEST CORPORATION  
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Substitute for form 1449/PTO

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

*(Use as many sheets as necessary)*

Sheet

of

**Complete if Known**

|                        |                    |
|------------------------|--------------------|
| Application Number     | 10/673,679         |
| Filing Date            | September 29, 2003 |
| First Named Inventor   | Mark J. Pettay     |
| Art Unit               | 2655               |
| Examiner Name          | Not Known          |
| Attorney Docket Number | PAT-008A           |

## U. S. PATENT DOCUMENTS

[illegible]

## FOREIGN PATENT DOCUMENTS

[illegible]

Examiner  
Signature

Date  
Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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